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| FORM PTO-1390 (REV 1-98) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER 81864.0070 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NUMBER (if known, see 37 C.F.R. 1.5) 10/541964 | |
| | | | | Not Known | |
| INTERNATIONAL APPLICATION NO. PCT/JP2004/009501 | | INTERNATIONAL FILING DATE June 24, 2004 | | PRIORITY DATE CLAIMED June 30, 2003 | |
| TITLE OF INVENTION | | R-T-B Based Rare Earth Permanent Magnet and Method for Production Thereof | | | |
| APPLICANT(S) FOR DO/EO/US | | Eiji KATO and Chikara ISHIKAZA | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p>d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> | | | | | |
| Items 11. to 16. below concern document(s) or information included: | | | | | |
| <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</p> <p>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.</p> <p><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input type="checkbox"/> Other items or information:</p> | | | | | |

Transmittal Letter to the United States Designated Office (DO/US)—Entry Into National Stage under 35 U.S.C. 371—PTO 1390 [13-7]

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| U.S. APPLICATION NO. (if known) 10/541964 Not known | | INTERNATIONAL APPLICATION NUMBER PCT/JP2004/009501 | | ATTORNEY'S DOCKET NUMBER 81864.0070 | | |
| 17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5)): Basic National Fee\$300 National Stage Search Fee\$400 National Stage Examination Fee\$200 <div style="text-align: right; margin-top: 10px;">TOTAL FEE AMOUNT =</div> | | | | | CALCULATIONS PTO USE ONLY <hr/> | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(e)). | | | | | \$ 900 \$ 0 | |
| CLAIMS | NUMBER FILED | NUMBER ALLOWED | NUMBER EXTRA | RATE | | |
| Total claims | 15 | 20 | 0 | X \$50.00 | 0 | |
| Independent claims | 2 | 3 | 0 | X \$200.00 | 0 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | X \$360.00 | 0 | |
| SIZE FEE <u>73</u> (TOTAL PAGES OF SPEC AND DRAWINGS TOGETHER) | | | \$250 for each additional 50 sheets | X \$250.00 | 0 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | | 900 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. § 1.27. The fees indicated above are reduced by 1/2. | | | | | 0 | |
| SUBTOTAL = | | | | | 900 | |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)). | | | | | \$ 0 | |
| TOTAL NATIONAL FEE = | | | | | 900 | |
| Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property + | | | | | \$ 40 | |
| TOTAL FEES ENCLOSED = | | | | | 900 | |
| \$ | | | | | Amt. Refunded | \$ |
| | | | | | Amt. charged | |
| a. <input type="checkbox"/> Checks in the amounts of <u>\$0</u> and <u>0</u> to cover the above fees are enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 50-1314 in the amount of <u>900.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1314. A duplicate copy of this sheet is enclosed. NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status. SEND ALL CORRESPONDENCE TO: <input checked="" type="checkbox"/> Customer Number 000026021 → | | | | | | |
| HOGAN & HARTSON L.L.P. 500 South Grand Avenue, Suite 1900 Los Angeles, California 90071 Phone: 213-337-6700 Fax: 213-337-6701 | | | | <div style="text-align: center;">  -SIGNATURE Dariush G. Adli REG.NO. 51,386 Express Mail Label No. EV 667 738 085 US Date: July 11, 2005 </div> | | |

Transmittal Letter to the United States Designated Office (DO/US)—Entry Into National Stage under 35 U.S.C. 371—PTO 1390 [13-7]

10/541964

JC14 Rec'd PCT/PTO 11 JUL 2005

PATENT

Attorney Docket No: 81864.0070

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

KATO, et al.

Serial No: Not Assigned

Filed: July 11, 2005

For: R-T-B System Rare Earth Permanent Magnet and
Method for Producing the Same

Art Unit: Not Assigned

Examiner: Not Assigned

CERTIFICATE OF MAILING VIA U.S. EXPRESS MAIL"Express Mail" Mailing Label No. EV 667 738 085 US

Date of Deposit: July 11, 2005

Mail Stop

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

I hereby certify that

- ☒ two copies of a letter of transmittal
- ☒ authorization to charge amount of \$ 900 as filing fee, search fee and examination fee
- ☒ authorization to charge amount of \$ 40 as assignment recordation fee
- ☒ patent application (41 page(s) of specification; 15 claim(s); 1 page(s) of abstract
- ☒ 31 sheet(s) of formal drawings
- ☒ executed Declaration and Power of Attorney
- ☒ assignment of the invention to TDK CORPORATION
- ☒ Preliminary Amendment
- ☒ Information Disclosure Statement with 8 references
- ☒ return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service with sufficient postage under 37 C.F.R. § 1.10 on the date indicated above and are addressed to:

Mail Stop

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Date: July 11, 2005

Hogan & Hartson, LLP
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Joanna Alonso-Sida

Name of person mailing papers

Signature